

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Donlon et al.

Serial No. :

Art Unit:

Filed :

Examiner:

For : Less-Invasive Devices and Methods for Cardiac  
Valve Surgery

I hereby certify that this correspondence is being deposited with the  
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to: Commissioner For Patents, Washington, D.C. 20231 on

September 15, 2003

(Date of Deposit)

Brian S. Tomko

(Name of applicant, assignee, or Registered Representative)



(Signature)

September 15, 2003

(Date of Signature)

Commissioner for Patents  
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

Dear Sir:

Pursuant to 37 C.F.R. §1.56 and in accordance with 37 C.F.R. §§1.97-1.98, information relating to the above-identified application is hereby disclosed. Inclusion of information in this statement is not to be construed as an admission that this information is material as that term is defined in 37 C.F.R. §1.56(b).

Applicant(s) reserve(s) the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this

information may not be enabling for the teachings purportedly offered.

This statement should not be construed as a representation that a search has been made, or that information more material to the examination of the present patent application does not exist.

☒ In accordance with §1.97(b), since this Information Disclosure Statement is being filed either within three months of the filing date of the above-identified national application (other than a continued prosecution application under §1.53(d)), within three months of the date of entry into the national stage of the above identified application as set forth in §1.491, or before the mailing date of a first Office Action on the merits of the above-identified application, or before the mailing date of a first Office Action after the filing of a request for continued examination under §1.114, no additional fee is required.

☐ In accordance with §1.129(a), this Information Disclosure Statement is being filed in connection with ☐ the first or ☐ second After Final Submission, therefore:

- ☐ Statement in Accordance with §1.97(e) (attached); or
- ☐ Please charge Deposit Account No. 10-0750/ / the fee of \$180.00 as set forth in §1.17(p).

☐ In accordance with §1.97(c), this Information Disclosure Statement is being filed after the period set forth in §1.97(b) above but before the mailing date of either a Final Action under §1.113 or a Notice of Allowance under §1.311, or an action that otherwise closes prosecution and that it is accompanied by one of:

- ☐ Statement in Accordance with §1.97(e) (attached); or
- ☐ Please charge Deposit Account No. 10-0750/ / the fee of \$180.00 as set forth in §1.17(p).

☐ In accordance with §1.97(d), this Information Disclosure Statement is being filed after the mailing date of either a Final Action under §1.113 or a Notice of Allowance under §1.311 but before the payment of the Issue Fee. Applicant(s) hereby petition(s) for consideration of this Information Disclosure Statement. Included are: Statement in Accordance with §1.97(e) as set forth below and the fee of \$180.00 as set forth in §1.17(p).

☐ Copies of each of the references listed on the attached Form PTO-1449 are enclosed herewith.

☒ Copies of references listed on the attached Form PTO-1449 are enclosed herewith EXCEPT THAT:

- ☐ In view of the voluminous nature of references [list as appropriate], and the likelihood that these references are available to the Examiner, copies are not enclosed herewith.
- ☐ If any of the foregoing publications are not available to the Examiner, Applicant will endeavor to supply copies at the Examiner's request.
- ☒ Copies of references listed on the attached Form PTO-1449 were previously cited by or submitted to the Patent and Trademark Office in prior application Serial No. 09/416,492, filed October 12, 1999, which is a continuation of application Serial No. 08/594,870, filed

January 31, 1996, now U.S. patent No. 6,010,531, which is a continuation-in-part of Serial No. 08/485,600, filed June 7, 1995, now abandoned, which is a continuation-in-part of Serial No. 08/281,962, now abandoned, which is a continuation-in-part of Serial No. 08/163,241, now U.S. Patent No. 5,571,215, which is a continuation-in-part of Serial No. 08/023,778, now U.S. Patent No. 5,452,733. This application is also a continuation-in-part of Serial No. 08/486,941, now U.S. Patent No. 5,799,661.

☐ There are no listed references which are not in the English language.

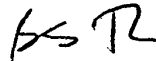
☐ The relevance of those listed references which are not in the English language is as follows:

☐ Attached are copies of search report(s) from corresponding patent application(s), which are listed on the attached Submission Under MPEP 609 D.

☐ Attached are the following non-published pending patent applications which may be deemed relevant, which are listed on the attached Submission Under MPEP 609 D.

Please charge any deficiency or credit any overpayment to Deposit Account No. 10-0750/HRT144CON/BST. This form is submitted in triplicate.

Respectfully submitted,



Brian S. Tomko  
Reg. No. 41,349  
Attorney for Applicants

Johnson & Johnson  
One Johnson & Johnson Plaza  
New Brunswick, NJ 08933-7003  
(732) 524-1239  
DATED: September 15, 2003

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet 1 of 2

**Application Number****Filing Date****First Named Inventor**

Donlon

**Group Art Unit**

3738

**Examiner Name**

D. Isabella

**Attorney Docket Number**

HRT-0144CON

**U.S. PATENT DOCUMENTS**

Examiner Initials	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document mm-dd-yyyy	Pages, Columns, Lines, where relevant passages or relevant figures appear
		Number	Kind Code <sup>2</sup> (if known)			
		RE35,352		Peters	10/96	
		3,409,013		Berry	11/68	
		3,587,115		Shiley	6/71	
		4,056,854		Boretos et al.	11/77	
		4,065,816		Sawyer	1/78	
		4,173,981		Mortensen	11/79	
		4,185,636		Gabbay et al.	1/80	
		4,562,832		Wilder et al.	1/86	
		4,585,453		Martin et al.	4/86	
		4,602,911		Ahmadi et al.	7/86	
		4,655,218		Kulik et al.	4/87	
		4,679,556		Lubock et al.	7/87	
		4,808,163		Laub	2/89	
		4,877,016		Kantor et al.	10/89	
		5,011,481		Myers et al.	4/91	
		5,032,128		Alonso	7/91	
		5,041,130		Cosgrove et al.	8/91	
		5,104,407		Lam et al.	4/92	
		5,109,859		Jenkins	5/92	
		5,188,619		Myers	2/93	
		5,197,979		Quintero et al.	3/93	
		5,203,776		Durfee	4/93	
		5,209,747		Knoepfler	5/93	
		5,213,093		Swindle	5/93	
		5,236,450		Scott	8/93	
		5,250,038		Meiker et al.	10/93	
		5,306,234		Johnson	4/26/94	
		5,308,320		Safar et al.	5/94	
		5,332,402		Teitelbaum	7/94	
		5,383,888		Zvenyatsky et al.	1/95	
		5,391,156		Hildwein et al.	2/95	
		5,423,887		Love et al.	6/95	
		5,433,700		Peters	7/95	

		5,443,446		Shturman	8/95	
		5,452,733		Sterman et al.	9/95	
		5,458,574		Machold et al.	10/95	
		5,478,309		Sweezer et al.	12/95	
		5,536,251		Evard et al.q	7/96	
		5,545,214		Stevens	8/96	
		5,556,412		Hill	9/96	
		5,560,487		Starr	10/96	
		5,578,076		Krueger et al.	11/96	
		5,613,937		Garrison et al.	3/97	
		5,628,607		Malecki et al.	5/97	
		5,682,906		Sterman et al.	11/97	
		5,702,368		Stevens et al.	12/97	

#### FOREIGN PATENT DOCUMENTS

Examiner Initials	Cite No. <sup>1</sup>	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document mm-dd-yyyy	Pages, Columns, Lines, where relevant passages or relevant figures appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	KindCode <sup>5</sup>				
		EP	0 218 275			4/1987		
		FR	2681775			4/1993		
		WO	87/05489			9/1987		
		WO	93/20742			10/93		

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet 1 of 1

Application Number

Filing Date

*First Named Inventor*

Danlon

Group Art Unit

3738

Examiner Name

07.00	
D. Isabella	

Attorney Docket Number

HRT-0144CON

## OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

[illegible]

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Unique citation designation number. 2 Applicant is to place a check mark here if English language Translation is attached.

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